



SZABO 212A

GAU 27753  
2675

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Andrew Szabo  
Serial No. : 09/583,048  
Filed : May 25, 2000  
For : DATABASE ACCESS SYSTEM  
Group Art Unit : 2775

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March 16, 2001

Hon. Commissioner of Patents  
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Washington, DC 20231

Sir:

INFORMATION DISCLOSURE STATEMENT

Pursuant to 37 CFR § 1.56 and § 1.97(b), applicants wish to call the attention of the Examiner to the references listed below:

U.S. Patent Nos. 5,659,732; 5,634,051; 5,640,553; 5,717,914;  
5,737,734; 5,742,816; 5,845,278; 5,878,423; 5,724,521; 5,021,976;  
5,297,253; 5,963,965; 5,812,134; 5,774,357; 5,886,698; 5,918,236;  
5,855,015; 5,890,152; 5,920,854; 5,920,859; 5,615,341; 5,796,209;  
5,724,573; 5,812,997; 5,844,305; 5,774,870; 5,924,090; 6,014,671;  
5,966,533; 6,012,051; 6,006,218; 6,012,052; 6,014,638; 5,978,766;  
5,977,964; 5,974,412; 5,970,486; 5,963,645; 5,801,747; 5,758,259;  
5,945,988; 6,005,597; 5,973,683; 5,946,490; 5,920,477; 5,895,471;  
5,966,705; 6,018,748; 6,014,634; 5,974,398; 5,933,811; 5,991,735;  
5,313,646; 5,966,126; 6,018,738; 5,278,979; 5,964,836; 6,137,499

and the following references: Gaines, et al., "Concept Maps as Hypermedia Components"; Agrawal, et al., "Mining Association Rules Between Sets of Items in Large Databases"; Akoulchina, et al., "SATELIT-Agent: An Adaptive Interface based on Learning Agents Interface Technology"; Benaki, et al., "Integrating User Modeling Into Information Extraction..."; Lamping, et al., "A Focus+Context Technique based on Hyperbolic..."; [http://www.inxight.com/News/Research\\_Papers\\_Files/Z-GUI\\_Article.pdf](http://www.inxight.com/News/Research_Papers_Files/Z-GUI_Article.pdf); [www.the.brain.com](http://www.the.brain.com); Maglio, et al., "How to Build Modeling Agents to Support Web Searchers"; Orwant, "For want of a bit the user was lost: Cheap user modeling"; WAP White Paper; Fink, "Personalized hypermedia...", <http://zeus.gmd.de/UM97/Fink>; [www.bacardi.com](http://www.bacardi.com); [thinkmap.com](http://www.thinkmap.com); Wong, et al., "Incremental Document Clustering for Web Page Classification"; Waterworth, "A Pattern of Islands: Exploring Public Information Space in a Private Vehicle"; Schafer, et al., "E-Commerce Recommendation Applications"; Schafer, et al., "Recommender Systems in E-Commerce"; Sebastiani, "A Tutorial on Automated Text Categorisation"; Sarwar, et al., "Analysis of Recommendation Algorithms for E-Commerce"; Rafter, et al., "Automated Collaborative Filtering Applications for Online Recruitment Services"; Resnick, et al., "GroupLens: An Open Architecture for Collaborative Filtering of Netnews"; Paliouras, et al., "Exploiting Learning Techniques for the Acquisition of User Stereotypes and Communities"; O'Connor, et al., "Clustering Items for Collaborative Filtering"; Makoto, et

al., "Cluster-Based Text Categorization: A Comparison of Category Search Strategies"; Leong, et al., "Text Summarisation for Knowledge Filtering Agents in Distributed Heterogeneous Environments"; Krichel, et al., "CitEc: an Autonomous Citation Index for Economics"; Karypis, "Evaluation of Item-Based Top-N Recommendation Algorithms"; Han, et al., "Centroid-Based Document Classification: Analysis & Experimental Results"; Boley, et al., "An Unsupervised Clustering Tool for Unstructured Data" and Bishop, et al., "A Hierarchical Latent Variable Model for Data Visualization".

A copy of these references are submitted herewith along with Form PTO-1449.

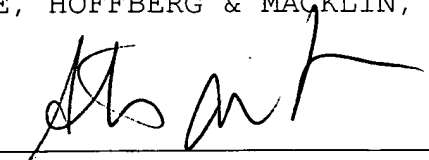
These references have been cited and described in the "Background of the Invention" portion of the application.

Consideration of the foregoing is respectfully requested during the initial examination of this application.

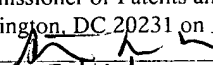
Respectfully submitted,

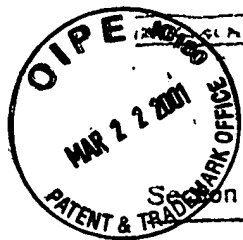
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By

  
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Reg. No. 33,511

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(Use several sheets if necessary)

(37 CFR 1.98(b))

ATTY. DOCKET NO.

SZABO 212A

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09/583,048

APPLICANT

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5/25/00

GROUP

2775

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	PATENT NUMBER	ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE if appropriate
	5659732	3/19/97	KIRSCH	395/605		5/17/95
	5634051	5/27/97	THOMSON	395/609		11/1/96
	5640553	6/17/97	SCHULTZ	395/605		9/15/95
	5717914	2/10/98	HUSICK ETAL	395/605		9/15/95
	5737734	4/7/98	SCHULTZ	707/5		9/15/95
	5742316	4/21/98	BARR ETAL	395/615		9/15/95
	5784527	8/12/98	KIRSCH ETAL	707/3		9/12/97
	5878423	3/2/99	ANDERSON ETAL	707/100		4/21/97
	5724521	3/3/98	DEDRICK	395/226		11/3/94
	5021976	6/4/91	WEYELBLAT ETAL	364/521		11/14/88
	5297253	3/22/94	MEISEL	395/160		1/9/92

## FOREIGN PATENT OR PUBLISHED FOREIGN PATENT APPLICATION

DOCUMENT NUMBER	PUBLICATION DATE	COUNTRY OR PATENT OFFICE	CLASS	SUBCLASS	TRANSLATION	
					YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)

GAINES, ETAL, "Concept Maps as Hypermedia  
Comp (Internet)AGRAWAL, "Mining Ass'n Rules...": Proc. of Acm Sig Mod  
Conf on Management' Mar 1993: 207-216AKOULCHINA, ETAL, "SATELIT-Agent..." User Modeling  
Proc of Sixth Intl Conf um97, Vienna, NY (1997)

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## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	PATENT NUMBER	ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE if appropriate
	5963965	10/5/99	VOGEL	707/501		2/18/97
	5812134	9/22/98	POOSER ET AL	345/356		3/28/96
	5774357	6/30/98	HOFFBERG ET AL	364/188		6/6/95
	5886698	3/23/99	SCIAMMARELLA	345/344		4/21/97
	5918236	6/29/99	WICAL	707/500		6/23/96
	5855015	12/29/98	SHOHAM	707/5		5/12/95
	5890152	3/30/99	RAPAPORT ET AL	707/6		9/9/96
	5920354	7/6/99	KIRSCH ET AL	707/3		8/14/96
	5920354	7/6/99	LI	707/5		2/5/97
	5615341	3/25/97	AGRAWAL ET AL	395/210		5/8/95
	5796209	8/18/98	KHAN ET AL	313/443		10/27/94

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OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)

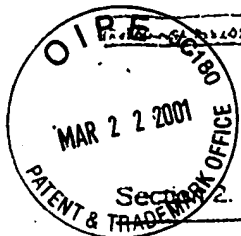
BENAKI, ETAL, "Integrating User Modeling..." User  
Modeling, Proc of Sixth Conf. UM 97, Vienna, NY (1997)

- LAMPING, "A Focus + Context Technique..." CHI 95, <http://www.acm.org/sigchi/chi95/proceedings/papers/31-bdy.htm>
- [www.inxight.com](http://www.inxight.com) <http://www.inxight.com/News/Research-Papers-Files/2-GUI-Article.pdf>?

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## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	PATENT NUMBER	ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE if appropriate
	5 7 2 4 5 7 3 3	3/3/98	AGRAWAL, ETAL	395/606		12/22/95
	5 8 1 2 9 9 7 9	9/22/98	MORIMOTO, ETAL	707/2		10/25/96
	5 8 4 4 3 0 5 1	12/1/98	SHIN, ETAL	257/676		1/12/95
	5 7 7 4 8 7 0 6	6/30/98	STOREY	705/14		12/14/95
	5 9 2 4 0 9 0 7	7/13/99	KRELLENSTEIN	707/5		5/1/97
	6 0 1 4 6 7 1 1	1/11/00	CASTELL, ETAL	707/101		5/15/98
	5 9 6 6 5 3 3 1	10/12/99	MOODY	395/702		6/11/96
	6 0 1 2 0 5 1 1	1/4/00	SAMMON, ETAL	706/52		2/6/97
	6 0 0 6 2 1 8 1	12/2/99	BREESE, ETAL	707/3		2/23/97
	6 0 1 2 0 5 2 1	1/4/00	ALTSCHULER, ETAL	707/2		1/15/98
	6 0 1 4 6 3 8 1	1/11/00	BURGE, ETAL	705/27		5/29/96

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OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication, etc.)

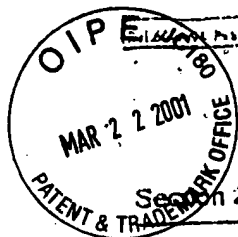
- www.thebrain.com

MAGLIO, ETAL, "How to Build Modeling Agents..." User  
Modeling Proc. Sixth Intl Conf. on 97, Vienna, NY (1997)ORWANT, "For want of a bit, user was lost..." MIT  
Media Lab, Vol 35, No 3+4 (1996)

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EXAMINER INITIAL	PATENT NUMBER	ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE if appropriate
	5978766	11/2/99	LUCIW	705/1		12/26/95
	5977964	11/2/99	WILLIAMS ETAL	345/327		1/5/98
	5974412	10/26/99	HAZLEHURST ETAL	707/3		9/24/97
	5970486	10/19/99	YOSHIDA ETAL	707/4		11/23/97
	5963645	10/5/99	KIGAWA ETAL	330/10		1/2/97
	5801747	9/1/98	BEDARD	343/1		11/15/96
	5758259	5/26/98	LAWLER	455/51		3/11/97
	5945988	3/31/99	WILLIAMS ETAL	345/327		5/30/97
	6005597	12/21/99	BARRETT ETAL	348/1		10/27/97
	5973683	10/26/99	CRAGUN ETAL	345/327		11/24/97
	5946490	9/31/99	LIEBERHERR ETAL	395/707		3/22/96

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DOCUMENT NUMBER	PUBLICATION DATE	COUNTRY OR PATENT OFFICE	CLASS	SUBCLASS	TRANSLATION	
					YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)

\*W@P White Paper, Wireless Internet Today, Oct '99,  
WAP Forum [www.links2mobile.com/wp/wp4.htm](http://www.links2mobile.com/wp/wp4.htm)

- FINK: "Personalized hypermedia..." <http://zeus.cind.de/wn97/Fink>

[www.bacardi.com](http://www.bacardi.com)

[www.thinkmap.com](http://www.thinkmap.com)

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09/583,048

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5/25/00

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2775

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	PATENT NUMBER	ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	5920477	7/6/99	HOFFBERG ETAL	364/48		6/6/95
	5895471	4/20/99	KING ETAL	707/104		12/22/97
	5966705	10/12/99	KONERU ETAL	707/9		6/30/97
	6018748	1/25/00	SMITH	707/501		5/28/96
	6014634	1/11/00	SCROGGIE ETAL	705/14		3/4/97
	5974398	10/26/99	HANSEN ETAL	705/14		4/11/97
	5933811	9/3/99	ANGLES ETAL	705/14		8/20/96
	5991735	11/23/99	GERACE	705/10		3/11/95
	5313646	5/17/94	HENDRICKS ETAL	395/600		6/10/91
	5966126	10/12/99	SZABO	345/343		12/23/96
	6018738	1/25/00	BREESE, ETAL	707/100		1/22/98

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DOCUMENT NUMBER	PUBLICATION DATE	COUNTRY OR PATENT OFFICE	CLASS	SUBCLASS	TRANSLATION	
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## OTHER DOCUMENTS (Including Author, Title, Date\*\*, Relevant Pages, Place of Publication\*\*\*)


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Instructions for form 1449B/P10

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 7 of 8

### Complete if Known

Application Number	09/583 048
Filing Date	5/25/00
First Named Inventor	SZABO
Group Art Unit	2775
Examiner Name	
Attorney Docket Number	SZABO 212A

### OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume/issue number(s), publisher, city and/or country where published	T?
		WONG, ETAL, "Incremental Document Clustering for Web Page Classification"	
		WATERWORTH, "A Pattern of Islands: Exploring Public Information Space in a Private Vehicle"	
		SCHAFER, ETAL, "E-Commerce Recommendation Applications"	
		SCHAFER, ETAL, "Recommender Systems in E-Commerce"	
		SEBASTIANI, "A Tutorial on Automated Text Categorisation"	
		SARWAR, ETAL, "Analysis of Recommendation Algorithms for E-Commerce"	
		RAFTER, ETAL, "Automated Collaborative Filtering Applications for Online Recruitment Services"	
		RESNICK, ETAL, "GroupLens: An Open Architecture for Collaborative Filtering of Netnews"	

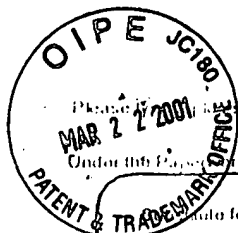
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Sheet

8

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### Complete if Known

Application Number	09/583,048
Filing Date	5/25/00
First Named Inventor	SZABO
Group Art Unit	2775
Examiner Name	
Attorney Docket Number	SZABO 212A

### OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No. 1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume/issue number(s), publisher, city and/or country where published	12
		PALIOURAS, ET AL, "Exploiting Learning Techniques for the Acquisition of User Stereotypes and Communities"	
		O'CONNOR, ET AL, "Clustering Items for Collaborative Filtering"	
		MAKOTO, ET AL, "Cluster-Based Text Categorization: A Comparison of Category Search Strategies"	
		LEONG, ET AL, "Text Summarisation for Knowledge Filtering Agents in Distributed Heterogeneous Environments"	
		KRICHEL, ET AL, "CitEc: an Autonomous Citation Index for Economics"	
		KARYPIS, "Evaluation of Item-Based Top-N Recommendation Algorithms"	
		HAN, ET AL, "Centroid-Based Document Classification: Analysis + Experimental Results"	
		BOLEY, ET AL, "An Unsupervised Clustering Tool for Unstructured Data"	
		BISHOP, ET AL, "A Hierarchical Latent Variable Model for Data Visualization"	

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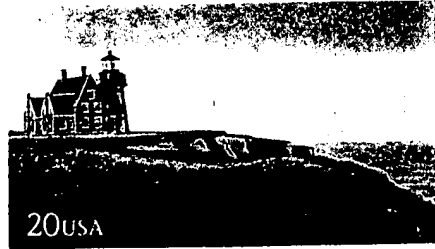
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- ☐ Claims - Pages \_\_\_\_\_
- ☐ Declaration and Power of Attorney
- ☐ Drawings - Sheets \_\_\_\_\_
- ☐ Formal Drawings (FIGS. \_\_\_\_\_ to \_\_\_\_\_) - Sheets \_\_\_\_\_
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- ☐ Petition for Extension of Time
- ☐ Priority Document
- ☐ PTO Form 1022
- ☒ PTO Form 1449 ✓
- ☒ References - 88
- ☐ Verified Statement Claiming Small Entity Status
- ☒ Postcard ✓



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